



# Progress Report

September 2020

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## Appendices

Appendix 1 – Extract of CLT report on red risks & issues

Appendix 2 – Risk and Safety Governance Action Plan V3

Appendix 3a, 3b – Heat Map and Strategic Risk Register – August 2020

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# Introduction

The purpose of this report is to provide an update on:

- The activities being undertaken to support the Council in developing a culture of being 'Creative & Aware of Risk'<sup>1</sup> in line with the agreed risk appetite
- The key strategic and operational risks facing the Council

It is also to provide assurance on the effectiveness of the Council's risk management arrangements.

## Key Messages

### **Covid 19 – Implications for Risk Management**

The unprecedented events of Covid19 has resulted in changes to the priorities of the risk management programme and has also impacted the culture around risk management.

It has been a challenging few months with lots of changes including more robust and regular reporting through Corporate Leadership Team (CLT) on operational risks, home working as a norm and learning to access and use new IT systems such as Microsoft Teams.

The risk management profile has been brought to the forefront and all services have engaged well in the revised reporting arrangements

To ensure that key red risks and issues arising from the crisis were being identified and managed an initial exercise was undertaken across all services leading to weekly reporting to the CLT – now monthly.

The latest report in August identified 34 red risks and 18 red issues - with most of these either holding static or improving. Most of the controls were also holding static or improving.

The main categories of risks are people, financial and economic with the main issue categories being technology and economic. See appendix 1 for a breakdown of the risks and issues by Directorate and status.

### **Progress on Governance review - see appendix 2**

Progress on the action plan from the Governance review undertaken in Autumn 2019 has continued but has been affected by the change in priorities arising from Covid19.

We are pleased to report that the following essential actions have been implemented:

- ✓ Strategic risk register updated, risk appetite statements updated to include 'opportunity'.
- ✓ Regular reporting to CLT on both operational and strategic risks.
- ✓ Directorates have a Directorate Risk & Safety Group (DRSG) or equivalent in place and have had initial meetings that reported into the Corporate Risk & Safety Group (CRSG).
- ✓ An update template is being used to improve data intelligence between DRSGs and the CRSG
- ✓ DRSGs have been aligned to the new structures within the Council

1. The Council wishes to be creative and open to considering all potential delivery options, with well measured risk taking whilst being

# Key Messages continued..

- ✓ Risk survey drafted - with the plan to have a snap survey completed by the end of autumn 2020
- ✓ A Health & Safety Committee has been set up with appropriate Union representation.

The remaining priorities and essential actions continue to be worked and these will be monitored through the CRSG.

## Strategic risk register – See appendix 3a and 3b

Overall the strategic risks continue to be managed pro-actively. We have reviewed the effectiveness of the control actions – focussing on those that can be measured such as KPIs, external sources etc. This will help us measure their impact in managing the risk.

We are currently awaiting final sign off for the latest Corporate Plan and once this has been agreed, we will continue to align the strategic risks against the key objectives and outcomes of the plan.

There is a **high** level of awareness of current and emerging risks that could impact services.

**6** risks

**SUBSTANTIAL  
ASSURANCE**

Safeguarding Adults (2)  
Resilience (Business Continuity) (3)  
Key projects & programmes (5)  
Budget – LCC (6)  
Recruitment / Staffing (7)  
IT infrastructure (10)

Major Projects – this has been defined in terms of risk and controls. It has also been reworded to better reflect and improve assurance around the Transformation Programme

Improvements made within IT over the past few months have seen the assurance level increase to **substantial**.

**4** risks

**LIMITED  
ASSURANCE**

Safeguarding Children (1)  
Market Supply – Adult Care (4)  
Strategic Contracts (8)  
Cyber Security (9)

Safeguarding Children – this has moved to a **high** risk and from substantial assurance to **limited** due to the controls identified not being as robust as they were pre-Covid. The position is improving and it is expected the assurance will move back to substantial.

Cyber Security is a **high** risk with an improved position but the main outstanding control means assurance is still **limited**.

# Our Operational Risks

We are reporting on a regular basis to CLT on the key red risks and issues for services within the Council. As part of this work, we are working with the Directorate Risk & Safety Groups in identifying the top risks for each directorate.

Health & Safety risk monitored through agreed KPIs was due to be reported to CLT July 2020, however due to other Covid-19 priorities, this has been postponed until November 2020.

To support reporting of risks and issues more dynamically a software package has been procured, SharpCloud. This will enable us to have better data around our risks and controls and will improve the risk intelligence. We hope to be able to demonstrate an example of the reporting capability at the Audit Committee meeting.

## Looking Forward

Over the coming months, we aim to:

- Work with the services and look at any lessons learnt from Covid19
- Continue to report regularly to CLT for as long as is required with the red risks & issues
- Capitalise on the work that we have started in ensuring that every service within the Council, has either a risk register or is aware of their operational risks and reported to risk management on a regular basis
- Implement and use the new risk management software system SharpCloud to improve reporting.
- Continue to work through any outstanding actions from the Governance review.

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